



APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section. 870817-02

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date 8/11/87	1. Agency Address Comptroller General Insurance Department -Regulatory Laws 604 West Tower, Floyd Building 200 Piedmont Avenue, SE Atlanta, Georgia 30334	Application Number 76-40-A	Date Received AUG 17 1987
Application Number 76-40-B		Date Completed JAN 27 1988	
2. Person to Contact Mary Jane Johnston		Working Title Administrative Clerk	Telephone Number 656-2076
3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. 76-40-A Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void			
4. Dates of Series Earliest 1964 Latest present		5. Records Series Title (followed by title used in office; if different) Insurance Company Charter Files	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Comptroller General is responsible for regulating insurance companies and for administering insurance-related laws; supervising and licensing loan companies making loans of \$2,500 or less; and enforcing the State's Fire Safety Laws and Mobile Home Sales regulations. The Insurance Division supervises insurance companies and agents, collects premium taxes, examines policy forms, and policy rates, and administers insurance related laws. The Division also licenses agents and companies and investigates consumer complaints.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: Licensing and regulating insurance companies. Included are: Applications for Original Certificates of Authority (form GIC-2); Corporate Charters and Amendments; Company By-Laws and amendments; Powers of Attorney (form GID-3 & GID-4); Certificates of Compliance; Certificates of Deposit; Verification of fees paid; verifications of policy forms filings; certificates of valuation; biographical sheets on each Company's officers and directors (see form GID-1); Initial Statement of Beneficial Ownership of Equity Securities (form GID-18); Statement of Changes in Beneficial Ownership of Equity Securities (form DIG-19). File is arranged: Alphabetically - by company; alphabetic listing by company name will be prepared at the end of each year. <u>8/24/87</u>			
8. Monthly Reference Rate How often are records referred to which are: One to six months old _____; Seven to twelve months old _____; Thirteen to twenty-four months old _____; twenty-five months and older _____?			
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers _____; Shelves _____; Other (specify) _____			

X		If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
X		c. Is this a vital record?
X		d. Does this series have historical or long term research value? The history of companies doing business in Ga.
	X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
X		i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | * _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

* Must be retained until after last policyholder has died or companies' policies are no longer enforceable.

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☒ Calendar Year; ☐ Fiscal Year; ☐ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area, hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy.
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

Microfilm ; alphabetic listing will be filmed on the last roll of each year's accumulation. After cut off date microfilm, and destroy ^{paper} after verification. Microfilm Security Copy to be sent to Archives for permanent Retention. Reference Microfilm Copy to be held in Office for permanent retention until no longer needed for reference; *PLS 1/20/88* then destroy.

(Changes in item #7 and #12 were made by Peter E. Schinkel on 1/20/88 with the concurrence of Fred Anderson, by telephone) *PLS 1/20/88*

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Ralph Terry</i>	8-12-87	<i>Fred Anderson</i>	8-14-87
870817-02		State Records Committee (Signature)	Date
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)	State Auditor/Designee	<i>W. H. Steub</i>	1-25-88
76-40-A	Secretary of State/Designee	<i>Edward Weidner</i>	1/20/88
	Attorney General/Designee	<i>Henry J. Bly</i>	1/20/88

OFFICE OF THE COMPTROLLER GENERAL
Insurance Department
Regulatory Laws Division

The Regulatory Laws Division is responsible for examining and licensing or suspending companies desiring to transact business in Georgia. The Division approves or disapproves petitions filed with the Secretary of State for organizing domestic insurers; licenses and regulates prepaid legal service plans, premium finance companies, and funeral homes which come under the Pre-need Funeral Service Contract Act; reviews merger proposals involving domestic insurers; and administers the Surplus Lines Law.

Appl

No

194

DescriptionDisposition

194	SURPLUS LINES BROKERS' AFFIDAVITS CERTIFICATES AND QUARTERLY REPORTS - Documents relating to regulating surplus lines brokers. Included are Surplus Lines Brokers Affidavit (GID-403); and Quarterly Reports. Files are arranged alphabetically by broker.	Cut off files at end of each calendar year; hold in current files area 1 year; then transfer to State Records Center; hold 2 years; then destroy. APPROVED: 07/06/72.
76-40-A	INSURANCE COMPANY CHARTER FILES - Documents relating to licensing and regulating insurance companies. Included are Applications for Original Certificates of Authority (GID-2); Corporate Charters and Amendments; Company By-Laws and Amendments; Powers of Attorney (GID-3 and GID-4); Certificates of Compliance; Certificates of Deposit; Verification of Fees Paid; biographical sheets on each company's officers and directors (GID-1); Initial Statement of Beneficial Ownership of Equity Securities (GID-18); Statement of Changes in Beneficial Ownership of Equity Securities (GID-19); Verification of Policy Forms Filings; and Certificates of Valuation. Files are arranged alphabetically by company.	Cut off files at end of each year ending in <u>0</u> and <u>5</u> ; hold in current files area 1 year; then retire to State Archives. APPROVED: 02/24/76. AMENDED: 02/11/81.
76-58	INSURANCE COMPANY CORRESPONDENCE FILES - Documents relating to maintaining a record of routine correspondence received from insurance companies. Included only are routine correspondence such as letters of transmittal, notices, etc. Files are arranged by company category (life, accident, health, etc.); thereunder alphabetically by name of company.	Cut off files at end of each calendar year; hold in current files area 1 year; then transfer to State Records Center; hold 4 years; then destroy. APPROVED: 03/03/76.



APPLICATION FOR RECORDS RETENTION SCHEDULE

OFFICE OF THE SECRETARY OF STATE
DEPARTMENT OF ARCHIVES AND HISTORY
RECORDS MANAGEMENT DIVISION

INSTRUCTIONS: See Publication No. 76-RM-1 for instructions on completing this form. Forward signed original to Department of Archives and History, Records Management Division, 330 Capitol Avenue, Atlanta, Georgia, 30334, Attention: Scheduling Section.

FOR AGENCY USE		FOR RECORDS MANAGEMENT USE	
Application Date 1/30/81	1. Agency Address Comptroller General Insurance Department - Regulatory Laws 238 Capitol Atlanta, Georgia 30334	Application Number 76-40-A	
Application Number		Date Received FEB 5 1981	Date Completed FEB 11 1981
2. Person to Contact Ralph W. Terry		Working Title Chief Deputy Insurance Commissioner	
		Telephone Number 656-2074	
3. Action Requested a. <input type="checkbox"/> Establish Retention Schedule; record will continue to accumulate. b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated. c. <input checked="" type="checkbox"/> Amend Application No. <u>76-40</u> Check One: <input checked="" type="checkbox"/> Change; <input type="checkbox"/> Supercede; <input type="checkbox"/> Void (include Forms GID 18 and 19 relating to ownership of equity securities)			
4. Dates of Series Earliest 1964 Latest To Date		5. Records Series Title (followed by title used in office, if different) INSURANCE COMPANY CHARTER FILES	
6. Division and Office Function What is the function of the Division and the Office in which this record series is created? The Comptroller General is responsible for regulating insurance companies and for administering insurance-related laws; supervising and licensing loan companies making loans of \$2,500 or less; and enforcing the State's Fire Safety Laws and mobile home sales regulations. The Insurance Division supervises insurance companies and agents, collects premium taxes, examines policy forms, and policy rates, and administers insurance-related laws. The Division also licenses agents and companies and investigates consumer complaints.			
7. Record Series Description This file contains the following documents (include form numbers and titles, if any): Attach samples of the file. Documents relating to: licensing and regulating insurance companies. Included are: Applications for Original Certificates of Authority (form GID-2); Corporate Charters and Amendments; Company By-Laws and amendments; Powers of Attorney (form GID-3 & GID-4); Certificates of Compliance; Certificates of Deposit; Verification of fees paid; verifications of policy forms filings; certificates of valuation; biographical sheets on each Company's officers and directors (see form GID-1); Initial Statement of Beneficial Ownership of Equity Securities (form GID-18); Statement of Changes in Beneficial Ownership of Equity Securities (form GID-19). File is arranged: Alphabetically - by company			
8. Monthly Reference Rate How often are records referred to which are: One to six months old _____; Seven to twelve months old _____; Thirteen to twenty-four months old _____; twenty-five months and older _____?			
9. Annual Rate of Accumulation of Records Letter-size drawers _____; Legal-size drawers _____; Shelves _____; Other (specify) _____			

YES	NO	10. Questionnaire (Place an "X" in the proper column)
X		a. Is this the official copy of the series? If not, where is it?
	X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation.
X		c. Is this a vital record?
X		d. Does this series have historical or long term research value?
N/A		e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
	X	f. Is the information contained in this series ever published? If yes, attach copy.
	X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
	X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
	X	i. Is this series (or a major portion of it) regularly microfilmed?
	X	j. Does the record series result in a computer printout?

11. Retention Requirements The following requires the series to be kept:

a. State Law	_____ *	years.	d. Audit period	_____	years.
b. Statute of limitation	_____	years.	e. Administrative need	_____ 6	years.
c. Federal law	_____	years.	f. Federal retention instructions	_____	years.

Attach copy or excerpt of laws or regulations. Explain administrative need.

* Must be retained until after last policyholder has died or companies policies are no longer enforceable.

12. Approved Disposition Instructions This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☒ Other See below then,

☐ Hold in the current files area _____ month(s) _____ year(s); then

☐ Transfer to local holding area, hold _____ year(s); then

☐ Transfer to State Records Center; hold _____ year(s); then

☐ Destroy.

☐ Transfer to State Archives for permanent retention.

☒ Other (Specify)

Cut off files at end of years ending in zero and five; hold in current files area 1 year; then transfer to State Archives for permanent retention.

These instructions apply to all prior and future accumulations of the series.

Agency Head/Designee (Signature)	Date	Records Management Officer (Signature)	Date
<i>Ralph W. Terry</i>	2-2-81	<i>Fred Anderson</i>	2-2-81
Recommendations in paragraph 12 are approved. (If disapproved, attach letter of explanation.)		State Records Committee (Signature)	Date
		State Auditor/Designee	2-10-81
		Secretary of State/Designee	2-9-81
		Attorney General/Designee	2-10-81



STATE
OF
GEORGIA

Application for RECORDS DISPOSITION STANDARD

OFFICE OF SECRETARY OF STATE
DEPARTMENT OF ARCHIVES & HISTORY
RECORDS MANAGEMENT DIVISION

PAGE
1

1. Application Date:	INSTRUCTIONS See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.	FOR RECORDS MANAGEMENT DIVISION USE	
2. Agency Application No.		Date Received FEB 11 1976	Application No. 76-40 Date Completed FEB 24 1976
3. Agency, Division, Subdivision & Administering Office Address Office of the Comptroller General Insurance Division		4. Person to Contact Connie Peeples	
		5. Working Title Asst. Deputy Commissioner	6. Tel. No. 656-2074

7. ACTION REQUESTED

- ☒ ESTABLISH DISPOSITION STANDARD;
RECORD WILL CONTINUE TO ACCUMULATE. ☐ DISPOSE OF PRESENT ACCUMULATION;
NO FURTHER ACCUMULATION ANTICIPATED.

8. Earliest & Latest
Dates of Series
1848 to Present

9. Exact Series Title
INSURANCE COMPANY CHARTER FILES

10. What is the function of the office in which this record series is created?

The Comptroller General is responsible for regulating insurance companies and for administering insurance-related laws; supervising and licensing loan companies making loans of \$2,500 or less; and enforcing the State's Fire Safety Laws and Mobile Home Sales regulations.

The Insurance Division supervises insurance companies and agents, collects premium taxes, examines policy forms and policy rates, and administers insurance-related laws. The Division also licenses agents and companies and investigates consumer complaints.

COPY OF
ORIGINAL
APPLICATION

11. This file contains the following documents (include form numbers and titles, if any, and file arrangement).

Documents relating to: licensing and regulating insurance companies.

Included are: Applications for Original Certificates of Authority (Form GID-2), Corporate Charters and Amendments, Company by-laws and amendments, Powers of Attorney (Form GID-3, GID-4), Certificates of Compliance, Certificates of Deposit, Verification of fees paid, verifications of policy forms filings, certificates of valuation, and biographical sheets on each Company's officers and directors. (See Form GID-1)

Files are arranged: alphabetically by name of Insurance Company.

ATTACH SAMPLES OF THE FILE

12. EQUIPMENT OCCUPIED	No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	No. of Drawers	Cu. Ft. of Records		
Letter-size File Drawers				4	8		
Legal-size File Drawers	36	72	Floor Space Occupied (Square Feet)	In Office(s)	In Storage Area(s)		
Record Center Boxes	17	17	AVERAGE DAILY REFERENCES	This Year's	Last Year's	Preceding Year's	All Prior Years
				5	5		

QUESTIONNAIRE Place an "x" in the proper column. If answer is "YES," please explain

- | | YES | NO |
|---|-----|-----|
| 13. Is this the Record Copy of the series? | [x] | [] |
| 14. Is there a duplication of this series in another office or agency? | [] | [x] |
| 15. Is the information contained in this series ever summarized or published?
Attach copy of summary or publication. | [] | [x] |
| 16. Does the series contain classified information requiring security handling? | [] | [x] |
| (17) Does the series initiate, amend or terminate agency policies and procedures? | [] | [x] |
| 18. Could the function be performed if the files were lost or destroyed? | [x] | [] |
| 19. Is the series (or major portion of it) regularly microfilmed? If yes, why? | [] | [x] |
| 20. Does the record series provide data as input to an EDP file? | [] | [x] |
| 21. Does the record series contain documentation produced as EDP printout? | [] | [x] |
| 22. Has the Federal Government issued instructions governing the retention/disposition of these files? | [] | [x] |
| 23. Will there be a need for these records 10, 15 years from now? If yes, what? | [x] | [] |

24. REQUIREMENTS. The following requires the files to be kept 100 years:

a. [] STATE LAW b. [] STATUTE OF LIMITATION c. [] AUDIT PERIOD d. [] FEDERAL LAW e. [x] ADMINISTRATIVE DECISION f. [] HISTORICAL VALUE
(Cite Law, Statute, or other reason for the retention requirement)

Must be retained until after last policy-holder has died or companies policies are no longer enforceable.

25. AGENCY RECOMMENDATIONS. This agency recommends that the file series be cut off at the end of each - [] CALENDAR YEAR - [] FISCAL YEAR - [x] OTHER See below, then:

- [] Hold in the current files area _____ month(s)/_____ year(s):
 [] Transfer to [] State Records Center [] Local Holding Area; hold _____ year(s):
 [] Destroy.
 [] Transfer to State Archives for permanent retention.
 [] Destroy immediately after cut-off.
 [x] Other: (Specify)

Cut off files at end of years ending with zero and five; hold in current files area 1 year; then transfer to State Archives for permanent retention.

(Indicate briefly rationale for recommendations above/or write additional remarks):

Records Management Officer (Signature)	Date	OTHER REQUIRED SIGNATURES	DATE
<i>Fred Anderson</i>	2-11-76		
26. Recommendations in paragraph 25 are:	Agency Head/Designee [x] Approved [] Disapproved	<i>Ralph W. Terry</i>	2-11-76
	State Auditor/Designee [x] Approved [] Disapproved	<i>William M. Dixon</i>	2-20-76
	Secretary of State/Designee [x] Approved [] Disapproved	<i>Carroll Hart</i>	2-19-76
	Attorney General/Designee [x] Approved [] Disapproved	<i>Bob Stuebel</i>	2-20-76

STATE RECORDS
COMMITTEE



STATE
OF
GEORGIA

4171-11
10
Application for
RECORDS DISPOSITION STANDARD

OFFICE OF SECRETARY OF STATE
DEPARTMENT OF ARCHIVES & HISTORY
RECORDS MANAGEMENT DIVISION

PAGE
1

1. Application Date	INSTRUCTIONS: See separate instructions for completion of front and reverse of this form. Sign original and two copies and forward to Department of Archives and History, Attention: Records Management Officer.	FOR RECORDS MANAGEMENT DIVISION USE	
2. Agency Application No.		Date Received FEB 11 1976	Application No. 76-40 Date Completed FEB 24 1976
3. AGENCY, Division, Subdivision & Administering Office Address Office of the Comptroller General Insurance Division		4. Person to Contact Connie Peeples	
		5. Working Title Asst. Deputy Commissioner	6. Tel. No. 656-2074

7. ACTION REQUESTED

- ☒ ESTABLISH DISPOSITION STANDARD;
RECORD WILL CONTINUE TO ACCUMULATE. ☐ DISPOSE OF PRESENT ACCUMULATION;
NO FURTHER ACCUMULATION ANTICIPATED.

8. Earliest & Latest
Dates of Series
1848 to Present

9. Exact Series Title
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Included are: Applications for Original Certificates of Authority (Form GID-2), Corporate Charters and Amendments, Company by-laws and amendments, Powers of Attorney (Form GID-3, GID-4), Certificates of Compliance, Certificates of Deposit, Verification of fees paid, verifications of policy forms filings, certificates of valuation, and biographical sheets on each Company's officers and directors. (See Form GID-1)

Files are arranged: alphabetically by name of Insurance Company.

ATTACH SAMPLES OF THE FILE

12. EQUIPMENT OCCUPIED	No. of Drawers	Cu. Ft. of Records	ANNUAL RATE OF ACCUMULATION	No. of Drawers		Cu. Ft. of Records	
Letter-size File Drawers				4	8		
Legal-size File Drawers	36	72	Floor Space Occupied (Square Feet)	In Office(s)		In Storage Area(s)	
Record Center Boxes	17	17		This Year's	Last Year's	Preceding Year's	All Prior Years'
			AVERAGE DAILY REFERENCES	5	5		

QUESTIONNAIRE Place an "x" in the proper column. If answer is "YES," please explain

13. Is this the Record Copy of the series? [X] []
14. Is there a duplication of this series in another office or agency? [] [X]
15. Is the information contained in this series ever summarized or published?
Attach copy of summary or publication. [] [X]
16. Does the series contain classified information requiring security handling? [] [X]
17. Does the series initiate, amend or terminate agency policies and procedures? [] [X]
18. Could the function be performed if the files were lost or destroyed? [X] []
19. Is the series (or major portion of it) regularly microfilmed? If yes, why? [] [X]
20. Does the record series provide data as input to an EDP file? [] [X]
21. Does the record series contain documentation produced as EDP printout? [] [X]
22. Has the Federal Government issued instructions governing the retention/disposition of these files? [] [X]
23. Will there be a need for these records 10, 15 years from now? If yes, what? [X] []

24. REQUIREMENTS. The following requires the files to be kept 100 years:

a. [] STATE LAW b. [] STATUTE OF LIMITATION c. [] AUDIT PERIOD d. [] FEDERAL LAW e. [X] ADMINISTRATIVE DECISION f. [] HISTORICAL VALUE

(Cite Law, Statute, or other reason for the retention requirement)

Must be retained until after last policy-holder has died or companies policies are no longer enforceable.

25. AGENCY RECOMMENDATIONS. This agency recommends that the file series be cut off at the end of each - [] CALENDAR YEAR - [] FISCAL YEAR - [X] OTHER See below, then:

- [] Hold in the current files area month(s)/ year(s):
- [] Transfer to [] State Records Center [] Local Holding Area; hold year(s):
- [] Destroy.
- [] Transfer to State Archives for permanent retention.
- [] Destroy immediately after cut-off.
- [X] Other: (Specify)

Cut off files at end of years ending with zero and five; hold in current files area 1 year; then transfer to State Archives for permanent retention.

(Indicate briefly rationale for recommendations above/or write additional remarks):

Records Management Officer (Signature)	Date	OTHER REQUIRED SIGNATURES	DATE
<i>Fred Anderson</i>	2-11-76		
26. Recommendations in paragraph 25 are:	Agency Head/Designee	<i>Ralph W. Terney</i>	2-11-76
	[X] Approved [] Disapproved		
	State Auditor/Designee	<i>William M. Dixon</i>	2-20-76
	[X] Approved [] Disapproved		
	Secretary of State/Designee	<i>Carroll Hart</i>	2-19-76
	[X] Approved [] Disapproved		
	Attorney General/Designee	<i>Robert H. Shoop</i>	2-20-76
	[X] Approved [] Disapproved		

STATE RECORDS
COMMITTEE